

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	Cary L. Bates et al.	:	Date: September 18, 2003
Group Art Unit:	Unassigned	:	IBM Corporation
Examiner:	Unassigned	:	Intellectual Property Law
Serial No.:	Unassigned	:	Dept. 917, Bldg. 006-1
Filed:	Herewith	:	3605 Highway 52 North
Title:	MANAGING BREAKPOINTS	:	Rochester, MN 55901-7829

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants request that the information listed on the attached Form PTO/SB/08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Serial No. Unassigned  
Docket No. ROC920030177US1

PATENT

This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(b)(1) within three months of the filing date of the present application. Accordingly no filing fee is required.

Date: September 18, 2003

Respectfully submitted

By



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PTO/SB/08A

Application Number.: Unassigned  
 Filing Date: Sept. 18, 2003  
 First Named Inventor: Cary L. Bates  
 Art Unit: Unassigned  
 Examiner Name: Unassigned  
 Attorney Docket Number.: ROC920030177US1

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**
Sheet 1 of 2
**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	<u>Document Number</u> Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
		US - 6,295,613- B1	09-25-2001	Cary Lee Bates et al.	
		US - 6,378,125- B1	04-23-2002	Cary Lee Bates et al.	
		US -			
		US -			
		US -			
		US -			
		US -			
		US -			
		US -			
		US -			
		US -			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	<u>Foreign Patent Document</u> Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>

Examiner Signature		Date Considered	
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

PTO/SB/08A

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 2 of 2

Application Number.: Unassigned  
Filing Date: Sept. 18, 2003  
First Named Inventor: Cary L. Bates  
Art Unit: Unassigned  
Examiner Name: Unassigned  
Attorney Docket Number.: ROC920030177US1

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examine r Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and or country where published.	T <sup>2</sup>

Examiner Signature		Date Considered	
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